

OFFICE OF EMERGENCY SERVICES

RAPE CRISIS PROGRAM

- **SAN BERNARDINO COUNTY – Morongo Basin Area**
- **RIVERSIDE COUNTY – Indio Area**

REQUEST FOR PROPOSAL



January 2004

**OFFICE OF EMERGENCY SERVICES
RAPE CRISIS PROGRAM**
• **SAN BERNARDINO COUNTY – Morongo Basin Area**
• **RIVERSIDE COUNTY – Indio Area**
COMPETITIVE REQUEST FOR PROPOSALS

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PART I – INFORMATION

A. INTRODUCTION

This Request for Proposal (RFP) provides all of the information and forms necessary to prepare a proposal for the Office of Emergency Services (OES) grant funds. The terms and conditions described in this RFP supersede all previous RFPs and any conflicting provisions stated in the *Grantee Handbook*. However, the *Grantee Handbook* provides helpful information you may wish to consult while developing your proposal. A copy can be obtained from website, <http://www.oes.ca.gov>, applicant can select either "Criminal Justice Programs Division" or "Plans and Publications" to access the *Grantee Handbook*.

B. CONTACT INFORMATION

Questions concerning this RFP, the application process, or programmatic issues should be submitted by e-mail to Linda Bowen, Chief of the Sexual Assault Branch, at linda.bowen@oes.ca.gov, or by fax at (916) 327-5674.

Contact information is provided above; however, OES staff cannot assist applicants with the actual preparation of their proposals. During the period of time between the publication date of the RFP and the date competitive proposals are due, OES can only respond to technical questions about the RFP submitted by fax or e-mail.

C. PROPOSAL DUE DATE

To submit a proposal, applicants must deliver the proposal to OES **by 5:00 p.m.** on the due date, or mail the proposal postmarked by the due date.

The Due Date Is: Tuesday, February 17, 2004.

Late proposals will be deemed ineligible for funding. Applicants must submit **one original and two copies** of the proposal to:

Office of Emergency Services
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: Sexual Assault Branch – Rape Crisis Program

or

If sending proposal by overnight delivery, submit to:

Office of Emergency Services
3650 Schriever Avenue
Mather, CA 95655
Attn: Sexual Assault Branch – Rape Crisis Program

If hand-delivering the proposal, see directions on page 38.

D. ELIGIBILITY CRITERIA

Eligible applicants must be an active California not-for-profit victim service corporation in good standing, or a governmental victim service organization. Applicants must be located in and/or immediately adjacent to the areas served by the previously funded project service area. The San Bernardino County – Morongo Basin area – is east of Big Bear Valley, Johnson Valley and north to the Inyo County line and continuing east to the State line. The Riverside County – Indio area is east of the Morongo Indian reservation, the crest of the Santa Rosa and San Jacinto mountains, Alpine village and south to the Imperial County line and continuing east to the state line.

Statements of California not-for-profit victim service corporation status will be verified with the California Secretary of State's Office. If the applicant is not a California not-for-profit corporation, or the corporation is not in good standing with the Secretary of State's Office, the applicant will be deemed ineligible to compete for these funds.

E. FUNDING CYCLE AND DURATION

The previously funded grantee terminated services effective September 30, 2003, this grant period will begin April 1, 2004 and end September 30, 2004. Grant amounts will be:

	VOCA	Match	RPE	VAWA	Total
Morongo Basin Area	\$32,266	\$8,067	\$41,054	\$32,207	\$113,594
Indio Area	\$45,785	\$11,446	\$58,255	\$45,700	\$161,186

Future 12-month grant awards are anticipated to be approximately \$214,032 (including a match) for the Riverside County – Indio area, and \$170,400 (including a match) for the San Bernardino County – Morongo Basin area.

Federal Violence Against Women Act – Services*Training*Officers*Prosecutors, Victims of Crime Act, and Violence Against Women Act – Rape Prevention and Education Program funds support this program.

1. Federal Victims of Crime Act

Federal Victims of Crime Act (VOCA) funds are derived from fines and penalties levied against persons and corporations convicted of federal crimes. The authorization for the expenditure of these funds is based on the federal VOCA Act of 1984 and the State Budget Act. Use of these funds is restricted to direct client services. VOCA funds **cannot** support services and activities to incarcerated individuals even when the services pertain to the victimization of that individual. Administrative costs that support direct services are allowable. VOCA allows the use of funds to include the purchase of organizational memberships in no more than three national or state criminal justice or victims' organizations per year. A twenty percent cash and/or in-kind match based on total project cost is required for these funds.

2. Violence Against Women Act – Rape Prevention and Education Program

Violence Against Women Act – Rape Prevention and Education Program funds are restricted in their use to primary and secondary rape prevention and self-defense programs, and may not be used to support direct victim services. At least 25 percent of these funds must be used for programs for middle, junior and high school students. Rape Prevention and Education Program funds **cannot** support activities to incarcerated individuals.

3. Violence Against Women Act – Services*Training*Officers*Prosecutors Program

Violence Against Women Act (VAWA) Services*Training*Officers*Prosecutors (STOP) funds must be used to develop, strengthen and provide sexual assault victim services. This program, authorized in 1994, amended the Omnibus Crime Control and Safe Streets Act of 1968, and created the Violence Against Women Act (VAWA) at Title IV, Section 40121. The program was reauthorized through Division B of the Victims of Trafficking and Violence Protection Act of 2000.

F. PROGRAM INFORMATION

1. Purpose of Request for Proposal

The purpose of this RFP is to solicit proposals from California not-for-profit victim service corporations in good standing or governmental victim service agencies to provide sexual assault victim services and community education and rape prevention programs in eastern San Bernardino County and eastern Riverside County. The successful applicant will be required to operate a rape crisis center office that is physically located in the identified service area.

2. Funding Priorities

Applicants must apply under one of two categories:

- a. Category A** consists of rape crisis centers that have operated in accordance with the *Service Standards for the Operation of Rape Crisis Centers* (Appendix A), hereafter referred to as *Service Standards*, for at least the last three years **and are located in or immediately adjacent** to the service area of the previously funded Harvest of Wellness Foundation. The two service areas were:

- Morongo Basin area of San Bernardino County, including the community of Landers; and
- Riverside County – Indio east of the Santa Rosa Mountains, Highway 74 at Palm Canyon Drive.

OES funded rape crisis centers eligible to apply for these funds are:

- San Bernardino County – Morongo Basin area: San Bernardino Sexual Assault Services, Riverside Area Rape Crisis Center; and
- Riverside County – Inyo area: San Bernardino Sexual Assault Services, Center Against Sexual Assault of Southwest Riverside, Riverside Area Rape Crisis Center, and SURE Helpline Center.

- b. Category B** consists of other California not-for-profit victim service corporations in good standing, or governmental victim service organizations that assist or propose to assist victims of sexual assault.

Note: Funding priority will be given to Category A applicants that score in a fundable range, even if that score is less than a competitor in Category B.

3. Program Guidelines

The *Service Standards* must be adhered to by all OES-funded rape crisis centers. The *Service Standards* are central to the operation of rape crisis centers and should be thoroughly reviewed in order for the applicant to fully understand and prepare a proposal that is responsive to this RFP.

G. PREPARING A PROPOSAL

For clarity, the forms in Part III include a Proposal Cover Sheet. Please complete the Proposal Cover Sheet and attach it to the front of your proposal.

The following five components are required for a complete proposal:

- Proposal Cover Sheet,
- Grant Award Face Sheet (Form A301),
- Project Narrative,
- Budget Narrative and Project Budget (Forms A303a-c), and
- Proposal Appendix (if applicable).

Note: Failure to include all of the required components may result in a reduced score or disqualification. OES will not advise applicants that their proposal is incomplete prior to rating or disqualification.

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the proposal components, as well as to the forms provided in Part III.

Applicants must use the forms provided or computer-generated forms, and plain 8½" x 11" white paper for the project narrative sections. If computer-generated forms are used, they must duplicate the OES forms and must not allow the applicant more space than that provided on the OES forms. Applicants must ensure information requested by the RFP instructions is included in the appropriate section of the proposal to receive credit. If a space limitation is specified for a component, strict adherence to the space limitation is required.

Proposals must be typed with characters no smaller than standard 12-pitch font. **Applicants must double-space all narrative sections of the proposals.**

Copies of the proposals must be assembled separately and individually fastened in the upper left corner. **Do not bind proposals.**

Failure to comply with these spacing/formatting requirements is one of the many factors that may negatively impact your comprehensive assessment score.

A. PROJECT NARRATIVE

This section describes the problem to be addressed, the plan to address that problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan.

1. Problem Statement

a. Problem

Provide a thorough description of the nature and degree of the problem of sexual assault in the service area that will be addressed by the project. Support the problem statement with statistical information from the service area including, at a minimum, population data and sexual assault crime data reported to local law enforcement agencies, medical treatment facilities, and other sources. Do not include generic information on Rape Trauma Syndrome or the effects of sexual assault on victims.

b. Project Service Area Information Form (Part III – Forms)

Provide the information requested on the form and include in the Proposal Appendix.

c. Project Summary Form (Part III – Forms)

Provide the information requested on the form and include in the Proposal Appendix.

d. Project Contact Information Form (Part III – Forms)

Provide the information requested on the form and include in the Proposal Appendix.

2. Plan and Implementation

This section details the applicant's plan to address the problem. Responses must conform to the requirements delineated in the *Service Standards*.

a. **Services**

1) 24-Hour Crisis Line

Describe how the 24-hour crisis line will be operated, including what staff will answer the line during business and non-business hours, and back-up procedures to ensure coverage if staff is temporarily away from the line or absent during their shift.

2) Crisis Intervention Services

Describe how this service will be provided, including response time; staff/volunteer training, training manual content, and supervision of trained staff and/or volunteers.

3) Follow-Up Counseling Services

Describe how this service will be provided, who receives the service and when, and who provides this service.

4) In-Person Counseling Services

Describe how this service will be provided, methods used to provide this service, who receives the service and when, and who provides this service.

5) Accompaniment Services

Describe how this service will be provided, who receives the service and when, and who provides this service. If this service is referred out, when, how and to whom are clients referred and what referral procedures are used? **If Accompaniment Services are referred out, an Operational Agreement must be included in the proposal Appendix.** See Part II. C. Proposal Appendix for Operational Agreement requirements (page 13). A sample Operational Agreement is provided in this RFP's Proposal Appendix section.

6) Advocacy Services

Describe how this service will be provided, who receives the service and when, and who provides the service. If this service is referred out, when, how and to whom are clients referred and what referral procedures are used? **If Advocacy Services are referred out, an Operational Agreement must be included in the proposal Appendix.** See Part II, C. Proposal Appendix for Operational Agreement requirements (page 13). A sample Operational Agreement is provided in this RFP's Proposal Appendix section.

7) Information and Referral Services

Describe how this service will be provided and who receives the service, the screening and selection procedures for referral resources, and when referral information is distributed to staff/volunteers.

8) Community Education Programs

Describe the approach to raise awareness of sexual assault in the service area, outreach efforts toward special populations (e.g., minorities, elderly, children, adolescents, mentally and/or physically disabled), and the training received by the Community Education staff person.

9) Rape Prevention and Self-Defense Programs

Describe the approach taken to provide information about self-protection from sexual assault, how the approach and content is modified for special populations, and the Rape Prevention/Self-Defense Educator's training.

b. Objectives and Activities

The eight (8) mandatory Objectives, and the required format, are provided in Appendix B. Use a separate page for each Objective. Activities must describe the steps to be taken to achieve the Objective, indicate the anticipated time frame for completion, and specify the position that is responsible for completing the Activity. Enter the projected number to be served for each Objective from April 1, 2004 through September 30, 2004.

c. Sexual Assault 40-Hour Training Agenda

Include a copy of the current or proposed 40-hour sexual assault training agenda in the proposal Appendix, showing topics and hours per each topic, and the individual discipline/agency that will address each topic. Forty-hour trainings must be sexual assault-related and include:

- Historical, Psychological, and Socio-cultural Aspects of Sexual Assault – a minimum, 2 hours on: rape crisis movement and local history; myths and facts; discrimination and oppression.
- Sexual Assault/Rape Trauma Syndrome (RTS) – at a minimum, 4 hours on: definitions; types (e.g., Adults Molested as Children (AMAC), date, stranger, gang, spousal); RTS; and treatment issues of special populations.
- Child Sexual Abuse – at a minimum, 2 hours on: indicators and long-range effects; legal definitions; types; reporting procedures; mandated reporting.
- Crisis Intervention – at a minimum, 4 hours on: crisis intervention models; physical and emotional needs assessment; and intervention with significant others.
- Groups That Have Experienced Discrimination – at a minimum, 2.5 hours on: serving diverse groups (e.g., gay/lesbians, elderly, racial/ethnic, disabled); cultural response and intervention.

- Medical Procedures – at a minimum, 2 hours on: victim rights; examination; consent to treatment and legal competence to consent; medication; payment; advocate role; sexually transmitted diseases (STDs); medical issues if not reporting to police; local procedures (hospital, police, medical); confidentiality; religious/cultural issues and medical procedures.
- Law Enforcement Procedures – at a minimum, 2 hours on: victim rights; purpose/ process of investigation; role of the victim, sexual assault advocate, police, and significant others; local procedures; factors affecting decision to arrest.
- Legal Procedures – at a minimum, 2 hours on: victim’s rights; confidentiality; Evidence Code §1035 *et seq.*; criminal justice processes; civil remedies; role of the victim, sexual assault advocate, district attorney, victim/witness; common defenses; and
- Referral Methods and Resources – at a minimum, 1 hour on: local referrals and resources, and accessing those services.

The following sections present the applicant’s ability to implement the Plan.

d. Agency Administration

1) History

State the agency’s purpose and whether it is a not-for-profit organization or a unit of government. **If applying under Category A** (see Part I, F), indicate the years (e.g., 1989-2003) the applicant has provided sexual assault victim services in accordance with the requirements specified in the *Service Standards*.

2) Client Confidentiality

Rape crisis centers must protect sexual assault victim’s confidentiality to the fullest extent possible under existing law. In order for sexual assault victims to assert the privilege of confidentiality accorded them by law, the person with whom they communicate must be designated a “sexual assault counselor” and meet the requirements of Evidence Code Section 1035.2 (see Appendix A).

With this in mind, describe the process used to ensure protection of victim confidentiality, and how staff and volunteers are informed of statutory confidentiality requirements.

e. Agency Coordination

Describe efforts to coordinate service delivery with each of the following: law enforcement agencies, district attorney’s office; medical service providers; social service providers; mental health providers; and the County Victim/Witness Assistance project. Include information regarding cross training, participation on joint committees/task forces, etc.

Include an Operational Agreement in the Proposal Appendix for the current grant year with the above-mentioned agencies. Operational Agreements must conform to requirements specified in Part II, C (page 13) of this RFP.

f. Organizational Chart

The Application Appendix must contain a **current** organizational chart. It must show the relationships between the governing body, the organization, the project, the project staff, the project volunteers and the lines of supervision. Job titles on the organizational chart must match those in the Budget and in the Budget Narrative.

B. PROJECT BUDGET

The purpose of the Project Budget is to demonstrate how the project will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds, including match funds when applicable. Projects may supplement grant funds with funds from other sources. However, since all approved line items are subject to audit, applicants should not include in the project budget matching funds (if applicable) in excess of the required match. All budgets are subject to OES modifications and approval.

OES requires the applicant to develop a **line item** budget that will enable them to meet the intent and requirements of the program, ensure the successful implementation of the project, and be cost-effective. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures that would detract from the accomplishment of the objectives and activities of the project. The following information is provided to assist in the preparation of the budget. Strict adherence to all required and prohibited items is expected. **Where the applicant does not budget for a required item, the applicant assumes responsibility.** Failure of the applicant to include required items in the budget does not exclude responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Grantee Handbook* at <http://www.oes.ca.gov>, applicant can select either "Criminal Justice Programs Division" or "Plans and Publications" for additional information concerning OES budget policy or to determine if specific proposed expenses are allowable. Contact the person listed on page 1, subsection B. Contact this person if a hard copy of the *Grantee Handbook* is needed.

A match (cash or in-kind) of \$8,067 for the Morongo Basin Area and \$11,446 for the Indio area is required for the VOCA funds in these grant awards. All funds designated as match are restricted to the same uses as the VOCA victim assistance funds. If volunteer services are used to meet this requirement, the services provided by the volunteers must be VOCA allowable (see Part I, E. 1). A volunteer match budget line item must indicate the specific volunteer duties **and** a rate of pay calculation that does not exceed that of paid staff performing similar duties. The agency must maintain volunteer documentation as part of its accounting records that include: duty statements; justification for the assigned volunteer pay rate; and forms signed by the volunteer's supervisor verifying actual time worked by each volunteer.

1. Budget Narrative

Applicants are required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal in front of the budget pages. In the narrative describe:

- How the proposed budget supports the stated objectives and activities of the project.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff.

- How project staff duties and time commitments support the objectives and activities.
- Proposed staff commitment/percentage of time to other efforts, in addition to this project.
- The necessity for subcontracts and unusual expenditures, if applicable.
- Mid-year salary range adjustments, if applicable.

Include a Position Funding Chart (sample below) that shows commitment/percentage of positions **to other efforts at your agency**. Enter each position listed on the Budget Personnel page(s) in column one, by title. In column 2, enter the amount of time (in Full-Time Equivalents) each position is paid from this grant. Complete the remaining columns. In the last column, enter the total amount of time (in Full-Time Equivalents) the position is **paid by your agency**.

Position Funding Chart (Example)					
Position	OES RC	OES DVAP	DHS DV	Other (specify – city, county, United Way, etc.)	% FTE at Agency
Executive Director	20%	20%	25%	10% ABC City RC Funds 5% ABC City DV Funds 5% XYZ County RC Funds 5% XYZ County DV Funds 5% United Way RC Funds 5% United Way DV Funds	100%
Advocate	75%			5% United Way RC Funds	80%
Advocate	30%			50% United Way DV Funds	80%

2. **Specific Budget Categories**

There is a form in the Forms Section (Part III) for each of the following three budget categories:

- Personal Services – Salaries/Employee Benefits,
- Operating Expenses, and
- Equipment.

These pages require the funding source and amount be identified for each line item, with each line item designated to a specific funding source. The total for each funding source column must match the amount allocated by that fund source. Refer to Part II, E., for specific fund source requirements and allowable uses.

Each budget category requires line item detail that addresses the method of calculation and justification for the expense. Enter the amount of each line item in the right hand column of the Budget Category form. All charges must be clearly documented **and rounded off to the nearest whole dollar**. Enter the total amount of the budget category at the bottom of the form. If additional pages are needed, total only the last page of each budget category.

The bottom of the Equipment Category form contains a format for identifying the project total and fund distribution. This section must be completed and submitted even if there are no line items identified in the equipment category.

a. Personal Services – Salaries/Employee Benefits (A303a)

1) Salaries

Personal services include all services performed by staff who are directly employed by the applicant and must be identified by position and percentage of salaries. All other persons are to be shown as consultants in the Operating Expenses Category supported by a memorandum of understanding, contract, or operational agreement, which must be kept on file by the grantee and made available for review during an OES site visit, monitoring visit, or audit. Furthermore, in the case of grants being passed through a grantee to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category. In either case, they may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If agency personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may not take that time off using project funds.

2) Benefits

Employee benefits must be identified by type and percentage of salaries. Applicants may use fixed percentages of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Other benefits, such as uniforms or California Bar Association dues, are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1½ clerical positions).

b. Operating Expenses (A303b)

Operating expenses are defined as necessary expenditures exclusive of personnel salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, an indirect cost allowance. The expenses must be grant-related (e.g., to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees, and other consumable items. Furniture and office equipment with an acquisition cost of less than \$1,000 per unit (including tax, installation, and freight) **and/or with a useful life of less than one year fall within this category.**

Applicants must submit their budget on the budget pages included in Part III, or an identical computer-generated form. These pages require that the funding source and amount be identified for each line item. The total for each of the funding source columns must match the amount listed on the funding chart (Section E page 2). Job titles in the Budget must match those in the Budget Narrative and on the Organizational Chart. Each budgeted item requires line-item detail showing the method of calculation and a brief justification for the item. For example:

Correct

Budget Category and Line Item Detail	TOTAL
<u>Mileage</u> 500 miles/mo. x .34 x 12 months = Travel to meet and accompany victims, to provide community educations programs, rape prevention presentations and attend project related meetings.	\$1860.00

Not correct

<u>Mileage</u>	\$1860.00
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c. Equipment (A303c)

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$1,000 or more per unit (including tax, installation, and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

3. Volunteer Match

If volunteers are used to meet the VOCA match requirement, the services they provide must be VOCA allowable (see Programmatic Instructions, Part I, Section F, 1). The volunteer match amount must be included as a line item in the budget with detail that addresses the method of calculation and justification for the expense, as shown in the previous "mileage" example. Documentation verifying the actual time worked by the volunteers, justification for the rate of pay, and duty statements must be kept by the project and maintained as part of the accounting records. See *Grantee Handbook* Sections 6512 – 6512.5 for additional information on the requirements.

4. Fiscal Year 2003/04 Trainings

a. Rape Crisis Regional

Six trainings will be conducted. The anticipated meeting sites are: Sacramento, Redding, Emeryville, Fresno, Burbank, and Riverside.

Training dates, information on the registration process, and locations will be sent when they have been determined. Applicants must budget sufficient travel and per diem for at least one person to attend one of the Rape Crisis Regional Trainings.

b. The 3rd National Sexual Violence Prevention Conference

This conference will be held May 25-28, 2004 at the Westin Bonaventure Hotel, Los Angeles, California. Grant funds may be used to pay for rape crisis center staff to attend this conference.

5. Rape Prevention Education Staff Position

A minimum of one full-time (or equivalent) rape prevention education staff position must be budgeted with the Rape Prevention funds.

C. PROPOSAL APPENDIX

The proposal appendix provides OES with additional information from the applicant to support components of the proposal. The following items must be included in the proposal Appendix:

- Certification of Assurance of Compliance (see page 25);
- Project Service Area Information form (see page 5);
- Project Summary form (see page 5);
- Project Contact Information form (see page 5);
- Operational Agreements (OA), which must: (1) describe plans for the coordination of services; (2) identify the party who provides the services and what those services are; (3) contain **original signatures, titles and agency names for both parties**; and (4) be dated no earlier than three months prior to submission of this proposal. For the purpose of this RFP, the terms OA and memorandum of understanding (MOU) are synonymous. A sample OA is provided in the Forms Section of this RFP (see page 14).
- Sexual Assault 40-Hour Training Agenda (see page 7); and
- Organizational Chart: The Organizational Chart should provide a clear and detailed depiction of the structure of the applicant organization, and the specific unit within the organization that will be responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and depict the lines of authority within the organization. Job titles on the Organizational Chart should match those in the Budget and Budget Narrative.

OFFICE OF EMERGENCY SERVICES

RAPE CRISIS PROGRAM

- **SAN BERNARDINO COUNTY – Morongo Basin Area**
- **RIVERSIDE COUNTY – Indio Area**

PART III – FORMS

**COMPETITIVE REQUEST FOR PROPOSALS
PROPOSAL CHECKLIST AND REQUIRED SEQUENCE**

This checklist is provided to assist the applicant in ensuring that a complete proposal is submitted to OES. Failure to include any of the following elements may result in disqualification of the proposal.

- ☐ PROPOSAL COVER SHEET
- ☐ GRANT AWARD FACE SHEET, signed by the official authorized to enter into Grant Award Agreement.
- ☐ PROJECT NARRATIVE
 - Problem Statement
 - Plan and Implementation
- ☐ BUDGET NARRATIVE
 - Budget Narrative
 - Budget Forms – A303a, A303b, A303c
- ☐ PROPOSAL APPENDIX
 - Operational Agreements (see pages 6 and 8)
 - Certification of Assurance of Compliance
 - Project Service Area Information form
 - Project Contact Information form
 - Project Summary form
 - Additional Signature Authorization form
 - Programmatic Purchase Justification
 - Emergency Fund Procedures
 - Sole/Single Source Justification – Contracts for Services
 - Sexual Assault 40-Hour Training Agenda
 - Organizational Chart

OFFICE OF EMERGENCY SERVICES
CRIMINAL JUSTICE PROGRAMS DIVISION
P.O. Box 419047
Rancho Cordova, CA 95741-9047
(916) 324-9100



PROPOSAL COVER SHEET

RFP PROCESS

RAPE CRISIS PROGRAM

- **SAN BERNARDINO COUNTY – Morongo Basin Area**
- **RIVERSIDE COUNTY – Indio Area**

Deliver to the Sexual Assault Branch

Submitted by:

(Place name, address, and phone number of applicant here.)

GRANT AWARD FACE SHEET INSTRUCTIONS

1. **Administrative Agency**
Enter the complete name of the entity applying for funding, also referred to as the “grantee.”
2. **Implementing Agency**
Enter the complete name of the agency responsible for the day-to-day operation of the grant, the contact person’s name, address, telephone number, and e-mail address, if available.
3. **Project Title**
Enter the complete title of the project. Do not use acronyms. Do not exceed 60 characters, including spaces and punctuation.
4. **Project Director**
Enter the name, title, mailing address, and telephone number of the person ultimately responsible for the project. This information must be limited to four lines.
5. **Financial Officer**
Enter the name, title, mailing address, and telephone number of the person who will be responsible for all fiscal matters relating to the project. This person must be someone other than the project director. The reimbursement check for this project will be mailed to the address shown for the financial officer. This information must be limited to four lines.
6. **Award Number**
Leave blank (to be completed by OES).
7. **Grant Period**
The start and end dates of 4/1/04 and 9/30/04 have been entered.
8. **Federal Amount**
If applicable, enter the amount of federal funds requested for the project. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
9. **State Amount**
If applicable, enter the amount of state funds requested for the project. If not applicable, enter N/A.
10. **Cash Match**
If applicable, enter the amount of cash match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
11. **In-Kind Match**
If applicable, enter the amount of in-kind match. The amount must be consistent with the proposed budget. If not applicable, enter N/A.
12. **Total Project Cost**
Enter the sum of items 8, 9, 10, and 11. The amount must be consistent with the proposed budget.
13. **Official Authorized to Sign for Applicant/Grantee**
Enter the signature, name, title, address, and telephone number of the official authorized to enter into the Grant Award Agreement for the city/county or community-based organization, as stated in the language between items 12 and 13 of the Grant Award Face Sheet (Form A301). **Provide an original signature of the authorized official in blue ink.**

**OFFICE OF EMERGENCY SERVICES
GRANT AWARD FACE SHEET (FORM A301)**

The Office of Emergency Services, hereafter designated OES, hereby makes a grant award of funds to the following

Administrative Agency (1)

hereafter designated Grantee, in the amount and for the purpose and duration set forth in this grant award.

(2) Implementing Agency Name

Contact

Address

E-mail address

Telephone (

)

(3) Project Title (60 characters maximum)	(6) Award No.	
	(7) Grant Period April 1, 2004 – September 30, 2004	
	(8) Federal Amount	VOCA
		VAWA
(9) State Amount		
(5) Financial Officer (Name, Title, Address, Telephone) (four lines maximum)	(10) Cash Match	
	(11) In-Kind Match	
	(12) Total Project Cost	

This grant award consists of this title page, the proposal for the grant which is attached and made a part hereof, and the Assurance of Compliance forms which are being submitted. I hereby certify that: (1) I am vested with authority to, and have the approval of the City/County Financial Officer, City Manager, or Governing Board Chair, enter into this grant award agreement; and (2) all funds received pursuant to this agreement will be spent exclusively on the purposes specified. The grant recipient signifies acceptance of this grant award and agrees to administer the grant project in accordance with the statute(s), the Program Guidelines, the *Grantee Handbook*, and the OES audit requirements, as stated in this RFP or RFA. The grant recipient further agrees to all legal conditions and terms incorporated by reference in this RFP or RFA.

<p><u>FOR OES USE ONLY</u></p> <p>Item:</p> <p>Chapter:</p> <p>PCA No.:</p> <p>Components No.:</p> <p>Project No.:</p> <p>Amount:</p> <p>Split Fund:</p> <p>Split Encumber:</p> <p>Year:</p> <p>Fed. Cat. #:</p> <p>Match Requirement:</p> <p>Fund:</p> <p>Program:</p> <p>Region:</p>	<p>(13) Official Authorized to Sign for Applicant/Grant Recipient</p> <p>Signature: _____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Address: _____</p> <p>Telephone: () _____</p> <p>E-mail address: _____</p> <p>Date: _____</p> <hr/> <p>I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purposes of this expenditure stated above.</p> <div style="display: flex; justify-content: space-between;"> _____ Fiscal Officer, _____ Date </div> <div style="display: flex; justify-content: space-between;"> _____ Executive Director, _____ Date </div>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

THE PROJECT NARRATIVE
GOES HERE

No standard forms are provided for the Project Narrative.

See Instructions in Part II page 5 of this RFP for details.

THE BUDGET NARRATIVE
GOES HERE

No standard forms are provided for the Budget Narrative.

See Instructions in Part II page 10 of this RFP for details.

[illegible]

Form A303a

BUDGET CATEGORY AND LINE ITEM DETAIL					
B. Operating Expenses	VAWA	RPE	VOCA	MATCH	TOTAL
TOTAL					

Form A303b

THE PROPOSAL APPENDIX

GOES HERE

See Instructions in Part II page 13 of this RFP for details.

SAMPLE OPERATIONAL AGREEMENT

This Operational Agreement stands as evidence that the (applicant agency) and the (agency) intend to work together toward the mutual goal of providing maximum available assistance for crime victims residing in (jurisdiction). Both agencies believe that implementation of the (program) proposal, as described herein, will further this goal. To this end, each agency agrees to participate in the program, if selected for funding, by coordinating/providing the following services:

The (applicant agency) project will closely coordinate the following services with the (agency) through:

- Project staff being readily available to (agency) for service provision through (describe arrangements with the agency);
- Regularly scheduled meetings (how often) between (persons/positions) to discuss strategies, timetables and implementation of mandated services.

* Specifically:

- * List specific activities that will be undertaken between the two agencies or other specifics of the agreement.

We, the undersigned, as authorized representatives of (applicant agency) and (agency), do hereby approve this document.

For _____

For _____

Date _____

Date _____

CERTIFICATION OF ASSURANCE OF COMPLIANCE

I, _____, hereby certify that:
(official authorized to sign grant award; same person as line 13 on Grant Award Face Sheet)

GRANTEE: _____

IMPLEMENTING AGENCY: _____

PROJECT TITLE: _____

is responsible for reviewing the *Grantee Handbook* and adhering to all of the Grant Award Agreement requirements (state and/or federal) as directed by OES including, but not limited to, the following areas:

I. Equal Employment Opportunity – (*Grantee Handbook Section 2151*)

It is the public policy of the State of California to promote equal employment opportunity by prohibiting discrimination or harassment in employment because of Race, Religious Creed, Color, National Origin, Ancestry, Disability (mental and physical) including HIV and AIDS, Medical Condition (cancer and genetic characteristics), Marital Status, Sex, Sexual Orientation, Denial of Family Medical Care Leave, Denial of Pregnancy Disability Leave, or Age (over 40). **OES-funded projects certify that they will comply with all state and federal requirements regarding equal employment opportunity, nondiscrimination and civil rights.**

Please provide the following information:

Affirmative Action Officer: _____

Title: _____

Address: _____

Phone: _____

Email: _____

II. Drug-Free Workplace Act of 1990 – (*Grantee Handbook Section 2152*)

The State of California requires that every person or organization awarded a grant or contract shall certify it will provide a drug free workplace.

III. California Environmental Quality Act (CEQA) – (*Grantee Handbook Section 2153*)

The State of California requires all OES funded projects to obtain written certification that the project is not impacting the environment negatively.

IV. Lobbying – (*Grantee Handbook Section 2154*)

OES grant funds, grant property, or grant funded positions shall not be used for any lobbying activities, including, but not limited to, being paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement.

V. Debarment and Suspension – (*Grantee Handbook Section 2155*)

(This applies to federally funded grants only.)

OES-funded projects must certify that it and its principals are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department of agency.

VI. Proof of Authority from City Council/Governing Board

The above-named organization (Applicant) accepts responsibility for and will comply with the requirement to obtain written authorization from the city council/governing board in support of this program. The Applicant agrees to provide all matching funds required for said project (including any amendment thereof) under the Program and the funding terms and conditions of OES, and that any cash match will be appropriated as required. It is agreed that any liability arising out of the performance of this Grant Award Agreement, including civil court actions for damages, shall be the responsibility of the grant recipient and the authorizing agency. The State of California and OES disclaim responsibility of any such liability. Furthermore, it is also agreed that grant funds received from OES shall not be used to supplant expenditures controlled by the city council/governing board.

The Applicant is required to obtain written authorization from the city council/governing board that the official executing this agreement is, in fact, authorized to do so. The Applicant is also required to maintain said written authorization on file and readily available upon demand.

All appropriate documentation must be maintained on file by the project and available for OES or public scrutiny upon request. Failure to comply with these requirements may result in suspension of payments under the grant or termination of the grant or both and the grantee may be ineligible for award of any future grants if the OES determines that any of the following has occurred: (1) the grantee has made false certification, or (2) violates the certification by failing to carry out the requirements as noted above.

CERTIFICATION
<p>I, the official named below, am the same individual authorized to sign the Grant Award Agreement [line 13 on Grant Award Face Sheet], and hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.</p> <p>Authorized Official's Signature: _____</p> <p>Authorized Official's Typed Name: _____</p> <p>Authorized Official's Title: _____</p> <p>Date Executed: _____</p> <p>Federal ID Number: _____</p> <p>Executed in the City/County of: _____</p>
<p>AUTHORIZED BY:</p> <ul style="list-style-type: none">• City/County Financial Officer• City Manager• Governing Board Chair <p>Signature: _____</p> <p>Typed Name: _____</p> <p>Title: _____</p>

PROJECT SERVICE AREA INFORMATION

1. COUNTY OR COUNTIES SERVED: Enter the name(s) of the county or counties served by the project. Put an asterisk where the principal office of the project is located.

2. U.S. CONGRESSIONAL DISTRICT(S): Enter the number(s) of the U.S. Congressional District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

3. STATE ASSEMBLY DISTRICT(S): Enter the number(s) of the State Assembly District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

4. STATE SENATE DISTRICT(S): Enter the number(s) of the State Senate District(s) which the project serves. Put an asterisk for the district where the principal office of the project is located.

5. POPULATION OF SERVICE AREA: Enter the total population of the service area served by the project.

PROJECT CONTACT INSTRUCTIONS

1. Provide the name, title, address, telephone number, and e-mail address for the person having day-to-day responsibility for the project.
2. Provide the name, title, address, telephone number, and e-mail address for the person to whom the person listed in #1 is accountable.
3. Provide the name, title, address, telephone number, and e-mail address for the Chief Executive of the implementing agency.
4. Provide the name, title, address, telephone number, and e-mail address for the Financial Officer of the project.
5. Provide the name, title, address, telephone number, and e-mail address for the Project Director of the project.
6. Provide the name, title, address, telephone number, and e-mail address for the Chair of the Governing Body of the implementing agency.

PROJECT CONTACT INFORMATION

Applicant: _____ Grant Number _____

Provide the name, title, address, telephone number, and e-mail address for the project contact persons named below. **If a section does not apply to your project, enter "N/A."**

1. The **person** having **day-to-day responsibility** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

2. The **person** to whom the person listed in **#1 is accountable**:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

3. The **executive director** of a nonprofit organization or the **chief executive officer** (e.g., chief of police, superintendent of schools) of the implementing agency:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

4. The **financial officer** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

5. The **project director** for the project:

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

6. The **chair** of the **governing body** of the implementing agency: *(Provide address and telephone number other than that of the implementing agency.)*

Name:	Title:	
Address:	City:	Zip:
Telephone Number: ()	Fax Number: ()	
E-Mail Address:		

PROJECT SUMMARY

1. Applicant/Grantee Name

2. Grant Award Amount	\$	3. Service Area
------------------------------	-----------	------------------------

4. Demographics of Service Area:

	<u>Numbers</u>	<u>% of Population</u>		<u>Numbers</u>	<u>% of Population</u>
White			Native American		
Black			Other		
Hispanic					
Asian			TOTAL		

5. Demographic Description of RC Project Staff, not only those funded by this OES Rape Crisis Grant:

	<u>Whites</u>	<u>Blacks</u>	<u>Hispanics</u>	<u>Asians</u>	<u>Native Americans</u>	<u>Other</u>	<u>TOTAL</u>
Staff.....							
Board							
Volunteers.....							

6. Forcible Rape Reported By Local Law Enforcement Agencies:

<u>Name of Agency</u>	<u>Incidence</u>
TOTAL REPORTED TO LAW ENFORCEMENT	

7. **Office Hours:** _____ a.m. to _____ p.m. Days: M Tu W TH F Sa Su (circle)
 _____ a.m. to _____ p.m. Days: M Tu W TH F Sa Su (circle)

8. Calculate the Full Time Equivalent (FTE) staff paid for by this grant
For example: 0.5 FTE + 0.75 FTE + 1.0 FTE is 3 people, but should be entered as 2.25 FTE

9. Enter the Number of FTEs for volunteers providing direct services to sexual assault clients _____
One FTE is 2,080 hours (40 hours/week x 52 weeks = 2,080). Determine the number of volunteer hours and divide by 2080 hours for the number of Volunteer FTEs.

ADDITIONAL SIGNATURE AUTHORIZATION INSTRUCTIONS

Applicants may request signature authority in addition to the designated Project Director and/or Financial Officer by completing an Additional Signature Authority form and submitting it with the Grant Award Forms package. Space is provided for the addition of up to five (5) additional authorizations for the Project Director or Financial Officer.

No single individual may be authorized to sign for both the Project Director and the Financial Officer. **By signing the bottom of this form, the Project Director and/or Financial Officer authorize the person(s) identified on the form to act on their behalf on all grant-related matters.**

ADDITIONAL SIGNATURE AUTHORIZATION

Grant Award #: _____

Applicant: _____

Project Title: _____

Grant Period: _____ to _____

The following persons are authorized to sign for:

Project Director

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Financial Officer

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Signature

Name

Approved By:

Project Director: _____

Date

Financial Officer: _____

Date

Regional/Local
Planning Director: _____

Date

**OFFICE OF EMERGENCY SERVICES
PROGRAMMATIC PURCHASE JUSTIFICATION**

As stated in the *Grantee Handbook*, approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant objectives and activities.

- A. In narrative form, please answer the following questions. Attach as many pages as necessary to fully answer each question.
1. What is your agency's purpose for the proposed system? Include a description of the items to be purchased and how they will be used. Also, explain how the proposed equipment and/or software will enhance the project's ability to achieve the objectives/activities of the project as specified in the Grant Award Agreement.
- B. If the request is for hardware and software in which the total costs exceed \$10,000, answer the following questions:
1. Describe the proposed design of your system and indicate whether this is a new system or an addition/enhancement of an existing one. In your description please be specific as to type and location of hardware/software and how the system will be operated and maintained.
 2. Will the proposed system design meet not only your current, but future needs? Describe in detail.
 3. Does the proposed system integrate with others within the agency? Explain both yes and no responses in detail.
 4. Do you plan on integrating this system with existing city, county, regional or statewide networks? Explain both yes or no responses in detail.
 5. For criminal justice agencies, does the proposed system meet the minimum requirements of the Statewide Integrated Narcotics System (SINS)? Contact OES for additional information regarding SINS requirements.
 6. Does the proposed system include intelligence data subject to 28 CFR Part 23 of the Code of Federal Regulations? Contact WSIN regarding these requirements and have them sign the certification of compliance.

**OFFICE OF EMERGENCY SERVICES
EMERGENCY FUND PROCEDURES**

GRANTEE NAME

GRANT NUMBER

In order for a project to develop an emergency fund with grant funds, certain criteria must be maintained. "Emergency" is defined as any immediate financial intervention in response to a victim's basic needs such as: temporary emergency shelter, food, transportation, clothing, and medical care including prescription medicine, eyeglasses, or dentures.

Because of the nature of the fund, it needs to be easily accessible. It is also necessary, however, that some safeguards and accountability of the fund be maintained. For effective management and audit purposes, the following procedures must be maintained:

1. The emergency fund and regular grant allocation must be kept separate, each with their own accounts.
2. Vouchers, receipts, and canceled checks must be maintained for audit purposes.
3. The authority to make payments from the emergency fund rests with the Chief Executive of the agency. Authority to draw on the emergency fund has been delegated by the Chief Executive to _____. In order to be valid, checks must require a counter signature. OES will be notified in writing of any changes in responsibility within ten days of the change.
4. If an imprest cash fund is used, the name, address and signature of the recipient will be maintained, as well as the date, amount and reason for the request.
5. Grant funds will not be commingled with other emergency monies.
6. As checks are drawn against the fund, a copy will be sent to the person in charge of the project's accounting.
7. This fund will be used only in the absence of another community resource, and only in the case of an emergency.
8. Verification of the crime will be made with local law enforcement. A copy of the crime report or verification slip will be kept on file.
9. Payments will be limited to payment for goods or services. A credit system, in lieu of cash payment, will be explored with local merchants. Direct cash allotments will be limited to no more than \$_____ per individual. Victims are not eligible to draw on the emergency fund for more than _____ crime incidents per year.
10. Records will reflect whether the emergency money is considered a loan and full or partial repayment is expected, or whether the money is an outright gift. Any repayments will be considered project income and must be used to reimburse the emergency fund.

SOLE/SINGLE SOURCE JUSTIFICATION CONTRACTS FOR SERVICES

CHECKLIST

Has the applicant/grantee met the following requirements of the *Grantee Handbook*:

Section 4510

Yes

No

Do conditions exist that require a sole/single-source contract?

☐☐

Section 4521

Is a brief description of the program or project included?

☐☐

Section 4522

Was it necessary to contract noncompetitively?

☐☐

Did the contractor submit his/her qualifications?

☐☐

Is the reasonableness of the cost justified?

☐☐

Were cost comparisons made with differences noted for similar services?

☐☐

Section 4523

Is an explanation provided for the uniqueness of the contract?

☐☐

Section 4524

Are there time constraints impacting the project?

☐☐

Is a justification provided regarding the need for contract?

☐☐

Were comparisons made to identify the time required for another contractor to reach the same level of competence?

☐☐

**OFFICE OF EMERGENCY SERVICES
RAPE CRISIS PROGRAM**

- **SAN BERNARDINO COUNTY – Morongo Basin Area**
- **RIVERSIDE COUNTY – Indio Area**

COMPETITIVE REQUEST FOR PROPOSALS FY 2003/04 (4/1/04 – 9/30/04)

PART IV – ADDITIONAL INFORMATION

This section contains additional information that applicants are strongly encouraged to review in preparing their proposals. Among the documents contained in this section is a copy of the Rating Sheet with the criteria that will be used to score proposals. Applicants are encouraged to use this Rating Sheet to review the proposal prior to submission.

- A. Submitting A Proposal
- B. Selection of Proposals For Funding
- C. Finalizing the Grant Award Agreement
- D. Administrative Requirements
- E. Budget Policy
- F. Glossary of Terms
- G. Rating Form
- H. Past Performance Policy

A. **SUBMITTING A PROPOSAL**

In order to submit a proposal, applicants must deliver or mail the proposal (the original and three copies) to OES by the due date. If the proposal is mailed, it must be postmarked by the due date and **mailed** to the following address.

Mailing Address:

Office of Emergency Services
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: Sexual Assault Branch – Rape Crisis Program

or

If sending proposal by **overnight delivery**, submit to:

Office of Emergency Services
3650 Schriever Avenue
Mather, CA 95655
Attn: Sexual Assault Branch – Rape Crisis Program

If the proposal will be **hand-delivered**, it should be delivered to the old Office of Criminal Justice Planning at 1130 K Street, Sacramento. Please note the following: 1130 K Street is located at the southwest corner of the intersection of 12th and K Streets. A Bank of America is located on the first floor of this building. Please note that K Street is a pedestrian mall. Indoor parking structures are located on the east side of 12th Street between K and L Streets (connected to the Hyatt Regency Hotel), and on 10th Street between K and L Streets. Street parking is limited and requires quarters for parking meters. Once you enter the building at 1130 K Street, take the elevator to the third floor and proceed straight down the hall to the Receptionist Office behind the double wooden doors labeled "State of California: The Office of Emergency Services." The proposal will be date stamped and you may request a receipt.

B. **SELECTION OF PROPOSALS FOR FUNDING**

1. **Proposal Rating**

All proposals received by the deadline will be read and rated by a team usually consisting of three raters. The averaged scores from the raters for the qualified proposals will be ranked numerically to develop a ranked list for each program. The rating form that will be used for this process is included in this section. It is provided as information only and is not to be submitted with the proposal.

2. **Funding Recommendations**

Recommendations for funding will be based on the following:

- the ranked score of the proposal;
- consideration of the funding priorities or geographical distribution of selected proposals as applicable to each program; and

- prior negative administrative and programmatic performance and compliance as an OES-funded project, if applicable.

Projects previously funded by OES will be reviewed for poor past compliance, including financial management, progress and annual reports, monitoring results, audit reports, and any other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) grant award conditions may be placed in the Grant Award Agreement. See the attached Past Performance Policy for details.

Recommendations for funding are submitted to the Executive Director of OES who makes the funding decisions, **with the following exceptions:**

- The Executive Director of OES makes funding recommendations to the State Advisory Committee (SAC) on Sexual Assault Victim Services/Prevention Programs for the Rape Crisis, Child Sexual Abuse Treatment, and the Child Sexual Exploitation and Intervention programs, which makes the final funding decisions in accordance with California Penal Code Sections 13836 and 13837 (see Appendix A, SS – page 14); and
- The Executive Director of OES makes funding recommendations to the State Advisory Group (SAG) for the Juvenile Justice and Delinquency Prevention Program, which makes the final funding decisions.

3. **Notification Process**

All applicants submitting a proposal will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a letter and information on the appeals process.

C. **FINALIZING THE GRANT AWARD AGREEMENT**

1. **Standard Project Funding Authority**

Allocation of funds is contingent on the enactment of the State Budget. OES does not have the authority to disburse any funds until the budget is passed and the Grant Award Agreement is fully executed. Until such time, projects must refrain from incurring any expenditures. Any expenditures incurred prior to authorization are made at the project's own risk. When the executed grant is received, authorized expenditure reports may be submitted for reimbursement of grant funds.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, OES may immediately terminate or reduce the grant award by written notice to the grantee. However, no such termination or reduction shall apply to allowable costs already incurred by the grantee to the extent that state or federal funds are available for payment of such costs.

OES Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Agreement.

2. Processing Grant Awards

a. **Submission of Additional Materials**

Upon selection of the projects to be funded, OES will send the Grant Award Forms Package to the grantee for completion prior to the finalization of the Grant Award Agreement. OES is not obligated to fund such projects until the applicant submits correctly completed documents required for the Grant Award Agreement. The final, completed, and approved application becomes the Grant Award Agreement when signed by OES Executive Director or designee.

Upon selection of projects to be funded, OES will send in the Grant Award Forms Package the Certification of Assurance of Compliance (Form 656) with specific details regarding Equal Employment Opportunity Program (EEO), Drug Free Workplace Compliance, California Environmental Quality Act (CEQA), Lobbying, Debarment and Suspension requirements, and Proof of Authority from City Council/Governing Board in the Grant Award Forms Package. Applicants selected for funding will then be required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. **In signing the Grant Award Face Sheet, the applicant formally notifies OES that the applicant will comply with all pertinent requirements.**

Resolutions are no longer required as submission documents. OES has incorporated the resolution into the Certification of Assurance of Compliance, Section VI, entitled "Proof of Authority from City Council/Governing Board." The Applicant is required to obtain written authorization from the city council/governing board that the official executing the agreement is, in fact, authorized to do so, and will maintain said written authorization on file and readily available upon demand.

b. **Grant Award Conditions**

OES may add one or more grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant award conditions may include requirements for sole source justification, a computer feasibility study, or any other requirements deemed necessary by OES.

c. **Grant Award Agreement**

A copy of the executed Grant Award Agreement and all the attachments will be sent to the project director. Applicants are not authorized to incur costs against the grant until they have received a copy of the fully executed Grant Award Agreement. When the executed grant is received, the Report of Expenditures and Request for Funds (Form 201) may be submitted for reimbursement.

d. **Grant Award Amounts**

Due to the limited amount of funds available, it may be necessary for OES to reduce the amount of the grant award from that requested by the applicant. In addition, OES reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, OES will notify the applicant prior to executing the Grant Award Agreement.

D. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding. These requirements are explained below for your planning purposes.

1. Grantee Handbook

The *Grantee Handbook* is accessible on the Internet website at <http://www.oes.ca.gov>, applicant can select either "Criminal Justice Programs Division" or "Plans and Publications." The *Grantee Handbook* contains administrative information and requirements necessary to implement the project. Grantees must administer their grants in accordance with the *Grantee Handbook* requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access

Funded projects are required to maintain Internet access with an established e-mail address. Grant funds may be used for this purpose, unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives. These records must be kept by the project for a period of three years. During programmatic monitoring visits, OES will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures and Request for Funds (Form 201)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (Form 201) unless they request a quarterly reporting period. All government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period and must be submitted whether or not the project has incurred expenses. Delays in submitting these forms will result in the withholding of funds and may result in the termination of the grant award.

5. Technical Assistance/Site Visits

Each project selected for funding is assigned an OES program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are technical experts on the criminal justice system and in the administrative execution of Grant Award Agreements. They are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. Projects should expect a site visit from the assigned program specialist within the first six months of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance. Projects must submit a request for approval for any changes to their project to the program specialist.

6. Monitoring Requirements

A monitoring visit is an on-site assessment by the OES Monitoring and Audits Branch staff to determine if the project is in compliance with the Grant Award Agreement, the Program Guidelines,

the RFA/RFP, and the *Grantee Handbook*. The goal of the monitoring process is to support program branches in helping projects achieve their goals. Projects will be monitored on a random or as-needed basis. The monitoring will cover all areas of project operation and will review the project's source documentation as substantiation for project goals, objectives, and activities.

7. Evaluation Component

In addition to monitoring project compliance, OES' Program Evaluation Branch (PEB) is responsible for determining program effectiveness. Program effectiveness is determined through the review, assessment, and evaluation of project performance. The determination of program effectiveness can involve either a review of process activities related to service delivery or an assessment of outcomes and the impact of the project on the service population and on the community, or both. Projects selected for funding may be required to collect data for evaluation purposes. Based on process, outcome, and impact evaluations, the PEB will be able to more accurately describe the effectiveness of programs on the community and on the state.

8. Bonding Requirements

All private nonprofit organizations are required to obtain and send to OES a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to all officials and employees of OES-funded projects within sixty days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State of California, Office of Emergency Services."

The time period covered by the bond must include the effective date and total time period of the grant, including any extensions. The bond must be in an amount equal to 50 percent of the total grant award and may have a deductible in an amount not to exceed \$1,000.

A bond is not required of applicants sponsored by units of government. Nonprofit organizations sponsored by units of government may submit documentation indicating this in lieu of the bond or equivalent insurance contract, unless specifically required in the RFP instructions or grant award conditions.

9. Audit Requirements

All grantees must arrange for an independent audit of the grant award and may budget a portion of the audit costs. Instructions for budgeting funds for audit costs are outlined in the RFP Budget Policy.

10. Copyrights, Rights in Data, and Patents

OES owns all rights of and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, any material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the *Grantee Handbook*.

11. Source Documentation

If selected for funding, the applicant will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement. Projects are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program

specific source documentation are delineated in the RFP instructions. Projects will be required to have written job descriptions on file for all positions funded by OES detailing specific grant-related activities to achieve project objectives.

E. BUDGET POLICY

This document summarizes information on OES Budget Policy contained in the *Grantee Handbook*. Additional information may be obtained by accessing the *Grantee Handbook* at <http://www.oes.ca.gov>, applicant can select either “Criminal Justice Programs Division” or “Plans and Publications.”

1. Supplanting Prohibited

Grant funds must be used to supplement existing funds for program activities and **not replace** funds that have been appropriated for the same purpose. If selected for funding, a written certification must be provided to OES indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. The rules on supplanting are discussed at length in section 1313 of the *Grantee Handbook*.

2. Project Income

Project income, such as client fees and fees for services provided by the grantee (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Sole/Single Source Requests

A competitive bid process is required to purchase equipment or consultant services with grant funds. Non-competitively bid contracts are disfavored, and sole/single source approval is required prior to the purchase of equipment in excess of \$2,500 without using a competitive bid process, or to hire a specific consultant charging over \$2,500 without using a competitive bid process. Local units of government may use their approved procurement policy. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a sole/single source request will be required. OES will provide assistance in submitting a sole/single source request if the proposal is selected for funding and if OES determines it is in the best interest of the project.

4. Internet Access

OES will be increasing its use of the Internet as a means of communication. Projects selected for funding will be required to gain and maintain Internet access with an established e-mail address throughout the grant period. Projects are allowed to budget for this purpose.

5. Match Policies

The RFP instructions (Part II) may specify a cash or in-kind match. The match must be from a source other than state or federal funds that are budgeted for the project. When used to augment the project, expenditures for items such as personnel, operating expenses, or equipment are considered a match if not in violation of the prohibition on supplanting. The match specified in the budget will become part of the grant award. Specific instructions for calculating the match are

provided below. There are examples of how to calculate the match requirement in sections 6550-6550.2 of the *Grantee Handbook*.

a. State Funds Matching State or Federal Funds

State and/or federal funds can be used to match other state and/or federal funds **only** if all of the following conditions have been met:

- 1) the other funding source does not prohibit this practice;
- 2) the funds are to be used for identical activities (e.g., to augment the project); and
- 3) the project has obtained prior written approval from OES, or specific RFP instructions allow this practice.

b. Type of Match

1) Cash Match

Cash match, also known as hard match, is revenue from a source other than state or federal funds that is budgeted for the project. Cash match is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations, or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities, and supplies may be considered cash match if not in violation of the prohibition on supplanting.

2) In-Kind Match

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value.

6. Travel Policies

The following is OES' current travel policy:

a. Selection of Travel Policy

Applicants may prepare the budget using their own travel policy or the state travel policy according to the following guidelines. Travel reimbursement will only be allowed based on actual costs.

1) Units of Government

Units of government may use their own written travel policy or the state policy.

2) Private Nonprofit Organizations

A private nonprofit organization may use the state travel policy or the applicant's written policy up to the maximum rates allowed by the state travel policy.

b. State Travel Policy

Use the following state travel policy for budgeting travel expenses:

1) Out-of-State Travel

Out-of-state travel is restricted and only allowed in exceptional situations. Requests for approval for out-of-state travel will be reviewed if the applicant is selected for funding.

2) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 34 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

3) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 9:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 4:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total

Total is \$40.00 for a 24-hour period.

4) Lodging

Reimbursement is not authorized without a receipt. Statewide with a lodging receipt is the actual lodging expense up to \$84.00, plus applicable **taxes**, (except as noted below).

5) Special Lodging Rates

These rates allow actual lodging expense up to \$110 plus applicable taxes with receipt in Los Angeles and San Diego counties. Actual lodging of up to \$140 plus applicable taxes is allowed for Alameda, San Francisco, San Mateo and Santa Clara counties.

6) Other

Taxi, airport shuttle, etc., which exceeds \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

7. Consultant Services

Consultant services are provided on a contractual basis by individuals or organizations and are not direct employees of the applicant (see *Personal Services – Salaries*). Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations that meet some or all of the following criteria:

- produce a specific product or service;
- work independently without direct supervision from the applicant;
- work on specific projects;
- provide services for a limited number of hours or period of time; and/or
- have no agency management or oversight responsibilities that are directed toward the financial success or direction of the agency.

a. Rates

The maximum rate for independent contractors is \$450 (excluding travel and subsistence costs) for an eight-hour day. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. A request for compensation for over \$450 per day requires **prior approval** and additional justification.

1) Independent Contractors Employed by State and Local Government

Compensation for these independent contractors will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

b. Expert Witness Fees

Prosecution or criminal defense projects, which routinely utilize “expert witnesses” as independent contractors to conduct evaluations and provide expert testimony in the courtroom, may budget for this expense. However, the grant may only be charged for costs above that which the county is required to cover. The maximum allowable rate for such witness fees is \$250 per hour up to \$2,000 per day. The total amount budgeted for expert witness fees must not exceed ten percent of the project’s total budget. Requests for proposed expert witness costs must be accompanied by written justification indicating the following:

- Qualifications, training, and experience of the expert(s). Include a statement regarding recognition by the court of the individual as an expert.
- Specialized certification/licensure [e.g., Masters in Social Work (MSW); Licensed Clinical Social Worker (LCSW); Marriage and Family Therapist (MFT); Medical Doctor (MD)].
- Rate of pay per hour. Provide documentation of a survey of the availability of similar consultants, the current “going rate,” and the proposed rate of pay. Indicate cost breakdown if expert is paid according to services (e.g., mileage, waiting time, court testimony).
- Proposed services to be provided (e.g., analysis of forensic evidence, psychological evaluation).
- Indicate why this cost cannot be paid with county funds. Attach a written justification to Form A303b.

8. Facility Rental

Up to \$18 per square foot annually (\$1.50 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit and should not be submitted with the proposal.

a. Rental Space for Training and Counseling Rooms

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the rental charged is based on actual costs and not reimbursed by any other source.

9. Rented or Leased Equipment

If equipment is to be rented or leased, an explanation and cost analysis will be required if the proposal is selected for funding. This analysis must demonstrate that it is more cost-effective to rent or lease the equipment than it is to purchase it and must be approved by OES prior to the execution of any rental or lease agreement.

10. Indirect Costs/Administrative Overhead

Indirect costs are those not readily itemized or assignable to a particular project, but necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of indirect costs. Flat rates not exceeding ten percent of personnel salaries (excluding benefits and overtime) or five percent of total direct project costs (excluding equipment) may be budgeted by applicants for indirect costs.

11. Audits

An audit is required for all OES recipients expending \$25,000 or more of OES grant awards. Applicants may budget for the cost of obtaining a financial audit. Allowable audit costs are as follows:

- If the total amount of the grant is less than or equal to \$150,000, the applicant may budget up to \$1,500 for the financial audit costs; or
- If the total amount of the grant is greater than \$150,000, the applicant may budget up to one percent of the total grant for financial audit costs.

12. Equipment

Equipment is defined as nonexpendable tangible personal property having a useful life of more than one year and an acquisition cost of \$1,000 or more per unit (including tax, installation and freight).

A line item is required for each different type of equipment, but not for each specific piece of equipment (e.g., three laserjet printers must be one line item, not three).

a. Allowable Expenses

Equipment used solely for project activities may be budgeted if it is essential to the implementation of the project. Grant funds may not be used to reimburse the applicant for equipment already purchased.

Rented or leased equipment must be budgeted as an operating expense. Lease-to-purchase agreements are generally not allowable. If a lease-to-purchase is requested, the project will be required to submit justification, including cost-effectiveness, with the Grant Award Forms Package. Prior approval by OES is required. All equipment purchased in whole or in part with state or federal grant funds is the property of the state or the federal government. However, under certain conditions, equipment may be transferred to the grantee at the end of the grant period. Satisfactory compliance with the Grant Award Agreement will be reviewed in considering the transfer of equipment.

b. Computers

1) Nonprofit Organizations

Applicants from nonprofit organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase.

2) Units of Government

Applicants from units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. OES will evaluate the proposed purchase on the basis of grant-related need. OES must give approval prior to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) Computer Purchase Justification

Approval for purchases of computers and automated equipment is contingent on the project's ability to demonstrate cost-effective, project-related need. This is best demonstrated by clearly relating each computer system or component to the grant

objectives and activities. If selected for funding, the project will be sent instructions for preparing the justification.

c. Automobiles

Automobiles are not allowable budget items, unless permitted in the RFP Instructions. If a vehicle is included in the budget, substantial justification demonstrating the grant-related need will be required before finalization of the Grant Award Agreement. The justification must describe the need for a vehicle, including the size of service area and the need to provide direct service away from the office, and the reason why the agency will not allow personal vehicle usage during working hours. A cost analysis for vehicle purchase as compared to other options, including lease and personal vehicle use with mileage, must be conducted and kept on file for review by OES during a site visit, monitoring visit, and/or by the auditor during the required annual audit.

13. Prohibited Expense Items

The following is a list of prohibited items:

a. Lobbying

OES grant funds cannot be used for lobbying activities.

b. Fundraising

OES grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

c. Real Property and Improvements

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the RFP instructions.

d. Interest

The cost of interest payments is not an allowable expenditure, unless the cost is a result of a lease/purchase agreement.

e. Food and Beverages

The cost of food and/or beverages at grant-sponsored conferences, meetings, or office functions is not an allowable expenditure.

f. Weapons and Ammunition

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

g. Membership Dues

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized in the RFP instructions.

h. Professional License

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

i. Annual Professional Dues or Fees

The cost of professional dues or fees is not an allowable expenditure, unless it is part of a governmental negotiated benefit package, or is specifically authorized by the RFP instructions.

j. Charges, Fees and Penalties

Finance charges, late payment fees, penalties, and returned check charges are not allowable expenditures.

k. Depreciation

Depreciation charges are not allowable expenditures.

GLOSSARY OF TERMS

Term	Definition
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Grantee	The agency or organization designated on the Grant Award Face Sheet who is the programmatic recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., Alameda County, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau).
Application	Once selected for funding, the original proposal plus any additional forms as required by OES becomes the application. This application, once signed by OES and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
Community-Based Organization (CBO)	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist grantees in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award/Grant Award Agreement	The signed final agreement (application) between OES and the local government agency or organization authorized to accept grant funding (see Application).
Grant Award Forms Package	The package to be sent to projects selected for funding containing forms needed for the final Grant Award Agreement.
Grant Funding Cycle	The number of years a program <u>may</u> be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the RFP or the Application for Continuation Funding (REAP/RFA), which the Project Narrative, Objectives, Activities, and Budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (Form A301).
<i>Grantee Handbook</i>	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The <i>Grantee Handbook</i> is accessible on the internet website at http://www.oes.ca.gov , applicant can select either "Criminal Justice Programs Division" or "Plans and Publications."

Term	Definition
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Memorandum of Understanding (MOU)	This term is used synonymously with Operational Agreement.
Nonprofit Organization	A nonprofit, public benefit corporation as described in Section 501(c)(3) of the Internal Revenue Service Code. The term is used synonymously with CBO.
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.
Operational Agreement (OA)	A formal agreement between two agencies which specifies the responsibilities of each agency in implementing the project.
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Program Guidelines	The instructions concerning the programmatic and administrative requirements unique to a particular OES grant-funded program.
Project	The implementation of a program's goals and objectives by a (funded) state or local government agency or CBO.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to OES which specifies the priorities, strategies, and objectives of the applicant.
RFA	The RFA is a noncompetitive application issued by OES.
RFP	The RFP is issued by OES to solicit competitive proposals relating to new funding.
Single Source	A contract process used when one supplier can be documented as being uniquely positioned to provide the service.
Sole Source	A contract process used when a specific supplier can be identified as the only supplier able to provide the services required by the department.
Supplanting	To reduce federal, state, or local funds due to the existence of OES funds. Supplanting occurs when a grantee deliberately replaces its non-OES funds with OES funds, thereby reducing the total amount available for the stated purpose.

**OFFICE OF EMERGENCY SERVICES
RAPE CRISIS PROGRAM**

- **SAN BERNARDINO COUNTY – Morongo Basin Area**
- **RIVERSIDE COUNTY – Indio Area**

COMPETITIVE REQUEST FOR PROPOSALS FY 2003/04 (4/1/04 – 9/30/04)

RATING FORM

	Control #:
	Rater #:
APPLICANT:	
FUNDS REQUESTED:	

CATEGORY	TOTAL POINTS POSSIBLE
1. PROBLEM STATEMENT	100
2. PLAN AND IMPLEMENTATION.....	200
3. BUDGET.....	40
4. COMPREHENSIVE ASSESSMENT.....	60
TOTAL	400

Each of the above categories contains questions that are assigned a point value. The point scale is divided into five columns labeled **I, II, III, IV and V**. The response to each question is evaluated on the following criteria:

- I. ABSENT:** Answer does not respond to the particular question or was left blank entirely.
- II. UNSATISFACTORY:** Does not completely respond to the question. Information presented does not provide a good understanding of applicant's intent, does not give detailed information requested by the RFP, or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY:** Responsive to the question. Provides a good understanding of the applicant's intent. Response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE/EXCELLENT:** Above average/excellent response gives a clear and detailed understanding of the applicant's intent. Response presented a persuasive argument supporting the proposal and the intent of the program.
- V. EXCELLENT:** Outstanding response with a clear, detailed and relevant information exceeding the information requested. Response presented a compelling argument supporting the proposal.

I	II	III	IV	V
0%	25%	50%	75%	100%

1. PROBLEM STATEMENT (Maximum 100 points)

How thoroughly does the Problem Statement describe the nature/degree of the problem of sexual assault in the service area and is it supported with statistical information from the service area?

0 25 50 75 100

2. PLAN AND IMPLEMENTATION (Maximum 200 points)

a. **Services** – Responses must conform to the requirements delineated in the *Service Standards*.

For each of the following services, how thoroughly did the applicant describe:

1) 24-hour crisis line

How the 24-hour crisis line will be operated, including who will answer the crisis line during business and non-business hours, and back-up procedures used to ensure coverage?

0 2 5 8 10

2) Crisis Intervention

How crisis intervention will be provided including response time, training for staff/volunteers, trainers, training manual content, and supervision of trained staff/volunteers?

0 2 5 8 10

3) Follow-up

How follow-up services are provided, who receives this service and when, and who provides this service?

0 2 5 8 10

4) In-person Counseling

How in-person counseling is provided, methods used to provide this service, who receives this service and when, and who provides this service?

0 2 5 8 10

5) Accompaniment

a. How this service is provided, who receives this service and when, and who provides this service?

0 2 5 8 10

b. If this service is referred out, when, how and to whom are clients referred and what referral procedures are used? **Note: If this service is provided in-house and not referred out, full points are to be awarded.**

0 2 5 8 10

	I 0%	II 25%	III 50%	IV 75%	V 100%
5) Accompaniment (cont'd.)					
c. If referred out, is the required Operational Agreement(s) for the current grant year, signed and dated by both parties, and included in the Appendix? Note: If this service is provided in-house and not referred out, full points are to be awarded.	0	2	5	8	10
6) Advocacy					
a. How this service is provided, who receives this service and when, and who provides this service.	0	2	5	8	10
b. If this service is referred out, when, how and to whom are clients referred and what referral procedures are used?	0	2	5	8	10
c. If referred out, is the required Operational Agreement(s) for the current grant year, signed and dated by both parties, and included in the Appendix?	0	2	5	8	10
7) Information and Referral					
How this service is provided, who receives this service, the screening and selection procedures for referral resources, and when the referral information is distributed to staff and volunteers?	0	2	5	8	10
8) Community Education Programs					
The approach to raise awareness of sexual assault, outreach efforts toward special population and the training received by the community education staff person.	0	2	5	8	10
9) Rape Prevention and Self-Defense					
The approach taken to provide information about self-protection from sexual assault, how the approach and content is modified for special populations, and the Rape Prevention/Self-Defense Educator's Training.	0	5	10	15	20
b. Objectives and Activities					
Are all seven objectives included, and do activities describe the steps that need to be taken to achieve the Objectives?	0	2	5	8	10

I	II	III	IV	V
0%	25%	50%	75%	100%

c. Sexual Assault Training Agenda

Is the current or proposed Sexual Assault Training Agenda included, does it show the topics to be covered, the hours per topic, and the individual/discipline/agency that will address each topic?

0 5 10 15 20

d. Agency Administration

Client Confidentiality

How thoroughly did the applicant describe the processes used to ensure victim confidentiality, and how staff/volunteers are informed of statutory requirements?

0 3 5 8 10

e. Agency Coordination

1) How thoroughly does the applicant describe efforts to coordinate service delivery with the designated agencies, and does this description include information on cross training, participation on joint committees, etc.?

0 3 5 8 10

2) Are OAs included in the Appendix with each of the designated agencies, do they describe plans for the coordination of services, identify the party who provides the services and what those services are, contain original signatures of both parties, and are they dated within the last three months?

0 3 5 8 10

3. BUDGET, including budget narrative (Maximum 40 points)

a. How well does the budget narrative support the proposal objectives and activities, and the intent and requirements of the program?

0 3 5 8 10

b. How well do project-funded staff duties and time commitments support the proposed objectives and activities?

0 3 8 12 15

c. How well do the budget line-items support the proposal plan, objectives and activities of the program?

0 2 8 12 15

4. COMPREHENSIVE ASSESSMENT (Maximum 60 points)

How well does this proposal support the overall intent, goals, and purpose of the program?

0 15 30 45 60

SUMMARY OF PAST PERFORMANCE POLICY

(Effective February 2003)

The following is a summary of OES' Past Performance Policy. A complete copy may be obtained by sending a request to the attention of the Deputy Director of Criminal Justice Programs Division:

Office of Emergency Services
P.O. Box 419047
Rancho Cordova, CA 95741-9047
Attn: Sexual Assault Branch – Rape Crisis Program
Fax: (916) 327-5674

1. General Policy

This policy is intended to result in a penalty to existing grantees that have serious performance problems and is to be utilized only in connection with the RFP process and the awarding of grants for new funding cycles. It has been developed in consultation with OES' advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process;

Level B: 10% point reduction of total possible points from an applicant's score

3. Standard For Invoking This Policy

The standard for invoking either penalty is whether the applicant's compliance with grant terms and conditions falls **significantly** below average – far below the level to be expected of other grantees, and not minor incident(s) of non-compliance with OES policies.

a. Serious Performance Problems That Are Eligible For Consideration

The types of performance problems that would qualify under this policy include, but are not limited to:

- 1) significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) violation(s) of material statutory requirements related to the grant;
- 3) a willful or grossly negligent violation of a material OES policy, term or condition of the grant, but only after the grantee has been provided:
 - a) technical assistance by OES, including a site visit if necessary, to remedy the violation;
 - b) at least one written notice (per violation); and
 - c) a reasonable opportunity to remedy the violation.

Any such notice will be provided to the grantee's executive officer and will specify that failure to remedy the violation may negatively impact the grantee's eligibility for future funding, including disqualification from the next RFP process.

It is not necessary for a criminal conviction to have occurred for OES to consider actions that appear to constitute fraud, embezzlement, mishandling of funds, or other types of statutory violations. OES must only have reliable evidence that this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) the seriousness of the problem(s);
- 2) whether the problem or problems identified were intentional;
- 3) whether the problem or problems reveal dishonest behavior by the applicant;
- 4) whether the interests of the State or the public were harmed by the problem or problems;
- 5) whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) whether the problem has been documented objectively; and
- 7) whether OES has attempted to assist the grantee in remedying the problem.

c. Specific Examples

All performance problems should be considered on a case-by-case basis, with the totality of the circumstances to be considered. The following examples are not intended to be binding or in any way restrictive of OES' authority to determine the appropriate penalty in any particular case:

- 1) OES conducts a monitoring visit of Project Z, and makes the following findings:
 - a) the shelter failed to pay overtime on two occasions;
 - b) three timesheets did not contain a supervisor's approval; and
 - c) the project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP application.

A corrective action plan is developed and the project takes steps to implement the monitoring recommendations. A follow-up with the grantee four months later shows that the monitoring findings have been corrected.

Penalty: None.

- 2) During an audit, it is discovered that a year ago an employee of Project V had embezzled \$300 of OES funds. The audit concludes that this occurred in part because of inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorney's office for prosecution. The grantee has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the grantee are known.

Penalty: Level B

- 3) Project Y has agreed to provide victim advocacy services in County X. The project spends \$40,000 on other things and provides no such services, as documented in the monitoring report. However, the project still writes that the services are being provided on its OES reports. OES refers the matter to the district attorney for prosecution, but no additional steps have yet been taken.

Penalty: Level A

5. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to applicants denied funding due to past performance problems. The applicant shall be provided with a summary of why the performance problem penalty was invoked. An applicant is entitled to appeal this denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.

SERVICE STANDARDS FOR THE OPERATIONS OF RAPE CRISIS CENTERS

These service components are central to the operations of rape crisis centers whose mission is to be responsive to the rights and needs of rape/sexual assault victims. Although these services are represented as distinct sets of activities, it is understood that there is considerable overlap and interdependency between them. In the following discussion of each criteria, a service standard which is defined as the **minimum level** of adequate service is established.

With the exception of compliance to mandatory reporting laws as they pertain to child abuse, the abuse of dependent adults or the elderly, or cases involving the potential of great bodily harm to oneself or others, centers must guarantee client confidentiality to all adult clients. The sole source of information regarding clients must be the client her/himself. Centers must have the client sign a waiver in the event that a client wishes to allow the case to be discussed with any individual not employed by the center.

A. SERVICES

The goal of intervention is to reduce the level of trauma experienced as a result of a sexual assault by assisting victims in strengthening their coping skills through empathetic response and support during all initial and subsequent contacts.

1. Crisis Intervention Services

Crisis Intervention Services are defined as the provision of initial crisis intervention services to victims of sexual assault.

Service Standard

- a. Centers must maintain a 24-hour, seven day-a-week telephone line using the services of an answering service and/or a call forwarding system. The purpose of this service is to provide crisis intervention services for victims of sexual assault, family or friends, and to receive referrals from law enforcement, hospitals, and community agencies. The crisis line must be staffed at all times by staff or volunteers who are trained to provide crisis intervention and information and referral to victims of sexual assault.
- b. A trained staff member or volunteer must be immediately accessible to callers on a 24-hour basis. Immediately accessible means a waiting period not to exceed 10 minutes. Availability of an answering service to take messages is not considered full coverage and does not meet the minimum criteria in this category.
- c. A trained staff member or volunteer is defined as an individual who has successfully completed a minimum of 40 hours of training and participates in in-service training programs pursuant to California Evidence Code Section 1035.2. (see Attachment)
 - 1) Centers must provide a minimum of 40 hours of training to staff, volunteers and supervisors in order to meet the statutory requirements for client confidentiality. The center must issue certificates to qualified sexual assault victim counselors. See Appendix A for a copy of the statute on sexual assault client/counselor privilege.

- 2) The training curriculum must include, but is not limited to, the following subject areas: Rape Trauma Syndrome; child sexual abuse; crisis intervention principles and techniques; medical, law enforcement, criminal justice/legal procedures; mandated reporting laws; confidentiality; referral methods and resources; historical, psychological, and socio-cultural aspects of sexual assault; and the provision of services directed toward groups that have experienced discrimination. All of the above subject areas are to be specific to sexual assault victims.
 - 3) A training manual must be developed and provided to each staff member and volunteer staffing the crisis line. The manual must cover the training curriculum listed above and must include policies and procedures for volunteers. (See Section G. 2.)
 - 4) Sexual assault counselors must participate in 12 hours of continuing education each year. No more than 4 hours may be self-study (e.g. reading assignment, approved educational video). The remaining 8 hours must be participatory (e.g. trainings conducted by the RCC, case management, workshops focusing on sexual assault issues, teleconference trainings, educational conference calls) and focus on sexual assault and/or issues that arise during provision of sexual assault services.
- d. Adequate supervision of volunteers is essential in order to ensure consistent quality of services. The staff of the center must supervise volunteers. This must include a system that requires contact between staff and volunteers within the time frame outlined in the volunteer policies of the individual agency. The purpose of the contact is to report having received a crisis call and to discuss actions taken or methods of proceeding.
 - e. Staff and volunteers handle initial client contacts, provide immediate crisis intervention, follow-up contact, and in-person counseling in order to ensure consistent services. If the center does not provide long-term counseling services, the case must be referred to a qualified professional with expertise in sexual assault counseling depending on the needs of the victim. (See Sections B.1. and 4.)
 - f. At a minimum, centers must serve the same number of sexual assault victims as there are cases of forcible rape (Penal Code Section 261) reported to law enforcement agencies within the center's service area during the grant year. Sexual assault includes, but is not limited to the following violations listed in the California Penal Code: rape; unlawful intercourse; gang rape; rape by foreign object; spousal rape; attempted rape; assault with intent to rape; sexual battery; oral copulation; sodomy; incest; annoying or molesting a child; lewd or lascivious conduct with a child; and unlawful sexual intercourse, oral copulation or sodomy when consent is procured by fear or fraudulent representation with intent to create fear.
 - g. Business Hours. The requirement that rape crisis centers maintain regular business hours is based on California Penal Code Section 13837 (See Appendix A, SS – page 14).
- 1) All rape crisis centers must maintain “normal business hours.” This means rape crisis center offices must be open to the public Monday through Friday for a

continuous eight-hour period that occurs between the hours of 8:00 a.m. and 5:00 p.m. with the only exception being closure during the lunch hour.

- 2) All rape crisis centers must make every possible effort to have staff in the office to respond to telephone inquiries, drop-in clients or members of the public during their established business hours.
- 3) Rape crisis centers with a full-time office worker/secretary/clerical position must have staff in their office at all times during their business hours.

2. Follow-up Counseling Services

Follow-up Counseling Services are defined as client contact made either by telephone or in-person immediately after the initial crisis and/or subsequently thereafter in order to meet the immediate and on-going needs of the client, ensure the continuity of services, and/or to offer and arrange a referral related to the client's needs.

Service Standard

- a. Centers must offer to contact all clients within three working days after the provision of crisis intervention services and shall do so when appropriate and/or according to the needs of the client.
- b. Centers must perform periodic assessments of each client's needs. The frequency of such assessment must be based upon the severity and characteristics of each individual case. Intervention plans must be modified according to the results of the assessment and may involve the provision of, or the referral to, long-term treatment or self-defense/prevention training.
- c. A minimum of 45 percent of clients receiving crisis intervention services must receive follow-up crisis counseling services. An attempt to provide this service for each client is required.
- d. Centers must establish intervals during which staff or volunteers will attempt to contact all clients after the initial provision of crisis intervention.
- e. Follow-up counseling also means that centers must perform periodic assessments of each client's needs. The frequency of such assessment must be based upon the severity and characteristics of each individual case. Counseling intervention plans must be modified according to the results of the assessment.

3. Short-term In-person Counseling Services

Short-term In-person Counseling Services are defined as the provision of one-to-one, face-to-face counseling services for up to ten weeks from the first counseling session.

Service Standard

- a. In addition to the provision of telephone counseling, centers must provide one-to-one, face-to-face, short-term counseling services. In order to provide counseling the service provider must be a trained staff member or volunteer who has received a minimum level of training and supervision. (See Sections A. 1. c. and 1. d.)

- b. All sexual assault victims who contact the center's crisis telephone, business office telephone, or business office must be offered in-person counseling services when indicated by the needs of the client.

4. Long-term In-person Counseling Services

Long-term In-person Counseling Services are defined as the provision of one-to-one, face-to-face, counseling services provided for longer than ten weeks by non-licensed, peer counselors.

Service Standard

- a. Centers must make long-term counseling services available. This means to provide the service or to make arrangements through other agencies or individuals.
- b. Centers that offer long-term counseling services must provide counselors who have a minimum of two years of supervised counseling experience, at least one of which is in rape crisis counseling, or have 40 hours of training and be supervised by a person with the experience described above; or, be a licensed therapist with expertise in Rape Trauma Syndrome.
- c. A written consent for treatment should be signed by clients prior to the provision of long-term counseling services.
- d. Referral resources for long-term counseling services must be selected by staff of the center. The screening and selection process must include personal interviews of the referral resources. Letters of agreement must be developed between the center and these resources which clearly delineate the expectations and services of the parties involved.
- e. When clients are referred out of the agency for long-term counseling, a minimum of three choices must be provided. Of these, only one can be staff, an active board member, or a volunteer of the center.

5. Long-term Therapy Services

Long-term Therapy Services are defined as the provision of or referral to services provided by licensed therapists or supervised clinical interns with expertise in sexual assault counseling.

Service Standard

- a. Centers must make long-term therapy services available. This means to provide the service or to make arrangements through other agencies or individuals.
- b. A written consent for treatment should be signed by clients prior to the provision of long-term therapy services.
- c. Referral resources for long-term therapy services must be selected by staff of the center. The screening and selection process must include personal interviews of the referral resources. Letters of agreement must be developed between the center and

these resources which clearly delineate the expectations and services of the parties involved.

- d. When clients are referred to private therapists, a minimum of three choices must be provided. Of these, only one therapist can be staff, an active board member, or a volunteer of the center.

6. Support Groups

Support Groups are defined as a facilitated group of sexual assault survivors formed to offer information and mutual support.

Service Standard

- a. Centers must provide for the availability of support groups. This means to provide the service or to make arrangements for the provision of these groups through other agencies or individuals.
- b. If the service is provided by the center, the facilitator must be a trained staff member or volunteer who has received the minimum 40-hour training, or is a licensed therapist with expertise in sexual assault treatment, and who receives a minimum level of supervision and has training and experience in facilitating a support group.
- c. Referral resources for the provision of support groups must be selected by staff of the center. The screening and selection process must include personal interviews of the referral resource. Formal letters of agreement must be developed between the center and these resources which clearly delineate the expectations and services of the parties involved, including training, and must be signed by representatives of both parties. Centers must evaluate the quality of services provided by referral resources on an annual basis.

7. Accompaniment Services

Accompaniment Services are defined as escorting or meeting face-to-face with sexual assault clients at appropriate places of their choice.

Service Standard

- a. Centers must provide for the availability of accompaniment services. This means to provide the service or to make arrangements through other agencies or organizations to provide accompaniment. These services must be available on a 24-hour basis.
- b. Accompaniment services must be provided for sexual assault victims to hospitals, law enforcement agencies, district attorney's offices, court proceedings, and other agencies or locations according to the needs of the client.
- c. Staff or volunteers providing this service must have completed the 40-hour training program and must participate in in-service training programs.
- d. Centers that refer to other agencies for the provision of accompaniment services must develop a formal letter of agreement with referral agencies. This letter must clearly delineate the expectations of each party, including training, and should be signed by

representatives of both agencies. Centers must evaluate the quality of services provided by referral resources on an annual basis.

- e. Clients receiving crisis intervention services must be offered accompaniment services when indicated by the needs of that client.

8. **Advocacy Services**

Advocacy Services are defined as the process by which rape crisis counselors intervene with other agencies and individuals on behalf of sexual assault victims in order to achieve a particular goal or result desired by that victim.

Service Standard

- a. Centers must provide for the availability of advocacy services. This means to provide the service or to make arrangements through other agencies or organizations to provide advocacy. These services must be available on a 24-hour basis.
- b. Advocacy services must be provided for sexual assault victims with hospitals, law enforcement agencies, district attorney's offices, court proceedings, and other agencies or locations according to the needs of the client.
- c. Staff or volunteers providing this service must have completed the 40-hour training program and must participate in in-service training programs.
- d. Centers that refer to other agencies for the provision of advocacy services must develop a formal letter of agreement with referral agencies. This letter must clearly delineate the expectations of each party, including training, and should be signed by representatives of both agencies. Centers must evaluate the quality of services provided by referral resources on an annual basis.
- e. Clients receiving crisis intervention services must be offered advocacy services when indicated by the needs of that client.

9. **Information and Referral Services**

Information and Referral Services are defined as the provision of **sexual assault related** information and/or referrals regarding community resources.

Service Standard

- a. Centers must respond to requests for information from the general public, as well as from persons receiving services, and must provide referrals to community resources.
- b. A referral resources list must be developed, maintained, and regularly updated which includes the following: law enforcement agencies, district and city attorney's offices, medical care providers, mental health treatment facilities, county departments of social services, child protective services, rape crisis centers, domestic violence centers, child sexual abuse treatment programs, victim/witness assistance centers, and a list of licensed therapists with knowledge and expertise in the area of sexual assault.

- c. Referral resources for treatment must be selected by staff of the center. The screening and selection process must include personal interviews of the referral resources. When appropriate, letters of agreement should be developed between the centers and these resources which clearly delineate the expectations and services of the parties involved, including training, and should be signed by representatives of both agencies.

10. Community Education and Rape Prevention Programs

Service Standard

- a. Centers must provide: community outreach, education, and rape prevention programs.
- b. Community outreach includes, but is not limited to, efforts made through person-to-person contacts, public speaking engagements, and use of the media to inform the community about the services and operations of the center, and/or information regarding sexual assault and sexual assault prevention.
- c. A community education program means a program, workshop, or seminar in which information is provided regarding sexual assault.
- d. Rape prevention programs focus on providing information on sexual assault prevention and personal safety, and may include instruction in self-defense strategies and techniques. Rape prevention programs are directed toward preventing the occurrence of sexual assault. They include: 1) programs designed to facilitate the development of nonviolent, abuse-free individuals, families, and environments; 2) programs directed toward creating an awareness of the risk of sexual assault and which provide education about sexual assault, personal safety and assertiveness; and 3) programs directed toward preventing violence from reoccurring through education about sexual assault, personal safety, assertiveness and self-defense strategies and techniques.
- e. Community education and rape prevention programs must be presented by certified sexual assault counselors as described in Section A.1.c and Penal Code Section 1035.2 (see Attachment).

B. AGENCY COORDINATION

Service Standard

Centers must establish themselves as active participants in local public and private service networks in order to provide for timely and comprehensive responses to sexual assault victims' needs.

- 1. Centers must develop and maintain cross-referral arrangements between local hospitals, law enforcement agencies, district attorney's office, victim/witness assistance centers, social service providers and other community agencies, such as treatment providers. This must be documented by a formal letter of agreement regarding cross-referrals, which clearly delineates the expectations of each party, including training, and should be signed by representatives of both agencies.
- 2. The center must regularly provide training and receive training from the above-described agencies.

3. Centers must directly assist, or must refer clients to victim/witness assistance centers or private attorneys for assistance in the preparation of victim compensation claims for submission to the Victim Compensation and Government Claims Board.

C. HUMAN RELATIONS TRAINING

Centers must provide training to all staff and volunteers on a yearly basis on providing services directed toward groups that have experienced discrimination and prejudice. This is in addition to the 40-hour training listed in Section A.1.c.

Service Standard

1. This training must focus on educating staff and volunteers regarding groups that have experienced prejudice and discrimination on the basis of race, sex, age, class, religious belief, disability, or sexual orientation and the effect of these practices on service delivery for victims of sexual assault. This training must emphasize the correlation between oppression of any group in our culture and the dynamics of sexual assault.
2. Training must be provided by persons who have expertise in the subject area.

D. INCLUSION OF MINORITY GROUPS IN SERVICES AND OPERATIONS

Service Standard

Centers must include members of minority groups in the services and operations of the project. This means:

1. Recruitment that is directed to all minority groups in the service area.
2. The center must make every attempt to provide services to members of minority groups that are proportionate to the demographic characteristics of the service area. These services must be culturally appropriate.
3. The composition of the agency's staff, and of their volunteers, must be made up of individuals who proportionately represent the ethnic/racial demographic characteristics of the service area. If this is not possible, documentation must be maintained which reflects the good faith efforts of the agency to achieve this goal.

“Good faith efforts” should include but not be limited to the following:

- a. Evidence of a plan adopted by the governing board to meet the recruitment criteria;
- b. Evidence of recruitment efforts in ethnic newspapers and newspapers of general circulation;
- c. Evidence or documentation of outreach to local leaders and community groups;
- d. Outreach to business and professional organizations; and
- e. Outreach to local colleges and universities.

4. The center must provide culturally and ethnically relevant materials for outreach and community education efforts.

The center must provide education programs in the predominant language(s) of the community.

E. ADMINISTRATION

1. Paid Staff

Service Standard

- a. The minimum number of initial training hours that must be provided for paid staff is 40 hours.
- b. The training curriculum must include, but is not limited to, the following subject areas: Rape Trauma Syndrome; child sexual abuse; crisis intervention principles and techniques; medical, law enforcement, and criminal justice/legal procedures; mandated reporting laws; confidentiality; referral methods and resources; historical, psychological, and socio-cultural aspects of sexual assault; training on providing services directed toward groups that have experienced discrimination; and training pertinent to specific staff assignments. The entire above subject areas are to be specific to sexual assault victims.
- c. In addition to the initial 40-hour training program, staff must be offered ongoing, culturally appropriate training to keep them abreast of current developments and trends in the field of sexual assault.
- d. Each new staff person must receive an orientation to the agency that must include, but not be limited to, a job description, personnel policies, and training requirements.

2. Volunteer Staff

Service Standard

Every center must maintain up-to-date volunteer policies which must include, at a minimum: leave policies, policies for attendance at in-service training programs and for time commitments, confidentiality policies, policies for travel expense reimbursement, and regular volunteer evaluations. Acknowledgment of receipt and understanding of these policies must be documented by the volunteer's signature.

3. Volunteer Board of Directors

Service Standard

- a. The board must be made up of individuals who proportionately represent the ethnic/racial demographic characteristics of the service area. If this is not possible, documentation must be maintained which reflects the good faith efforts of the agency to achieve this goal.

“Good faith efforts” should include but not be limited to the following:

- 1) Evidence of a plan adopted by the governing board to meet the recruitment criteria;
 - 2) Evidence of recruitment efforts in ethnic newspapers and newspapers of general circulation;
 - 3) Evidence or documentation of outreach to local leaders and community groups;
 - 4) Outreach to business and professional organizations; and
 - 5) Outreach to local colleges and universities.
- b. A formal selection process must be established for board members.
- c. Directors must be provided with training to include such topics as: the history and goals of the organization; information about funding sources and their general expectations; board member responsibilities including fund-raising; copies of bylaws, articles of incorporation, and personnel policies.

F. INTERNAL MANAGEMENT

Service Standard

Every center must develop adequate policies and procedures to protect the agency from legal liability.

1. Every center must maintain and follow up-to-date bylaws.
2. Every center must maintain up-to-date personnel policies designed to protect the rights of staff and management. These policies must, at a minimum, include grievance procedures for both staff and executive directors; leave policies; work hour and benefit policies; regular staff evaluations, policies for setting salaries and salary increases and policies for nondiscrimination.
3. Centers must maintain functional time sheets and personnel files. Functional time sheets mean records that reflect the actual hours spent on each project according to funding source.
4. Centers must maintain records to substantiate the number of clients served, the number of prevention and educational programs provided and the number of attendees.
5. Centers must have regularly scheduled staff meetings to discuss agency business. This must include, but not be limited to, information about funding sources and national, statewide, and local coalitions for rape crisis centers.

Every center must conform to Generally Accepted Accounting Principles (GAAP).

CALIFORNIA EVIDENCE CODE

Evidence Code Section 1035 – Victim

As used in this article, “victim” means a person who consults a sexual assault victim counselor for the purpose of securing advice or assistance concerning a mental, physical, or emotional condition caused by a sexual assault.

Evidence Code Section 1035.2 – Sexual Assault Victim Counselor

As used in this article, “sexual assault victim counselor” means any of the following:

- (a) A person who is engaged in any office, hospital, institution, or center commonly known as a rape crisis center, whose primary purpose is the rendering of advice or assistance to victims of sexual assault and who has received a certificate evidencing completion of a training program in the counseling of sexual assault victims issued by a counseling center that meets the criteria for the award of a grant established pursuant to Section 13837 of the Penal Code and who meets one of the following requirements:
 - (1) Is a psychotherapist as defined in Section 1010; has a master’s degree in counseling or a related field; or has one year of counseling experience, at least six months of which is in rape crisis counseling.
 - (2) Has 40 hours of training as described below and is supervised by an individual who qualifies as a counselor under paragraph (1). The training, supervised by a person qualified under paragraph (1), shall include, but not be limited to, the following areas: law, medicine, societal attitudes, crisis intervention and counseling techniques, role playing, referral services, and sexuality.

Evidence Code Section 1035.4 – Confidential Communication Between the Sexual Assault Counselor and the Victim; Disclosure

As used in this article, “confidential communication between the sexual assault counselor and the victim” means information transmitted between the victim and sexual assault counselor in the course of their relationship and in confidence by a means which, so far as the victim is aware, discloses the information to no third persons other than those who are present to further the interests of the victim in the consultation or those to whom disclosures are reasonably necessary for the transmission of the information or an accomplishment of the purposes for which the sexual assault counselor is consulted. The term includes all information regarding the facts and circumstances involving the alleged sexual assault and also includes all information regarding the victim’s prior or subsequent sexual conduct, and opinions regarding the victim’s sexual conduct or reputation in sexual matters.

The court may compel disclosure of information received by the sexual assault counselor which constitutes relevant evidence of the facts and circumstances involving an alleged sexual assault about which the victim is complaining and which is the subject of a criminal proceeding if the court determines that the probative value outweighs the effect on the victim, the treatment relationship, and the treatment services if disclosure is compelled. The court may also compel disclosure in proceedings related to

child abuse if the court determines the probative value outweighs the effect on the victim, the treatment relationship, and the treatment services if disclosure is compelled.

When a court is ruling on a claim of privilege under this article, the court may require the person from whom disclosure is sought or the person authorized to claim the privilege, or both, to disclose the information in chambers out the presence and hearing of all persons except the person authorized to claim the privilege and such other persons as the person authorized to claim the privilege is willing to have present. If the judge determines that the information is privileged and must not be disclosed, neither he, she nor any other person may ever disclose, without the consent of a person authorized to permit disclosure, what was disclosed in the course of the proceedings in chambers. If the court determines certain information shall be disclosed, the court shall so order and inform the defendant. If the court finds there is a reasonable likelihood that particular information is subject to disclosure pursuant to the balancing test provided in this section, the following procedure shall be followed:

- (1) The court shall inform the defendant of the nature of the information, which may be subject to disclosure.
- (2) The court shall order a hearing out of the presence of the jury, if any, and the hearing allow the questioning of the sexual assault counselor regarding the information which the court has determined may be subject to disclosure.
- (3) At the conclusion of the hearing, the court shall rule which items of information, if any, shall be disclosed. The court may make an order stating what evidence may be introduced by the defendant and the nature of questions to be permitted. The defendant may then offer evidence pursuant to the order of the court. Admission of evidence concerning the sexual conduct of the complaining witness is subject to Sections 352, 782, and 1103.

Evidence Code Section 1035.6 – Holder of the Privilege

As used in this article, “holder of the privilege” means:

- (a) The victim when such person has no guardian or conservator.
- (b) A guardian or conservator of the victim when the victim has a guardian or conservator.
- (c) The personal representative of the victim if the victim is dead.

Evidence Code Section 1035.8 – Sexual Assault Victim-Counselor Privilege

A victim of a sexual assault, whether or not a party, has a privilege to refuse to disclose, and to prevent another from disclosing, a confidential communication between the victim and a sexual assault victim counselor if the privilege is claimed by:

- (a) The holder of the privilege;
- (b) A person who is authorized to claim the privilege by the holder of the privilege; or
- (c) The person who was the sexual assault victim counselor at the time of the confidential communication, but such person may not claim the privilege if there is no holder of the privilege in existence or if he is otherwise instructed by a person authorized to permit disclosure.

Evidence Code Section 1036 – Claim of Privilege By Sexual Assault Victim Counselor

The sexual assault victim counselor who received or made a communication subject to the privilege under this article shall claim the privilege whenever he is present when the communication is sought to be disclosed and is authorized to claim the privilege under subdivision (c) Section 1035.8.

Evidence Code Section 1036.2 – Sexual Assault

As used in this article, “sexual assault” includes all of the following:

- (a) Rape, as defined in Section 261 of the Penal Code.
- (b) Unlawful sexual intercourse, as defined in Section 261.5 of the Penal Code.
- (c) Rape in concert with force and violence, as defined in Section 264.1 of the Penal Code.
- (d) Rape of a spouse, as defined in Section 262 of the Penal Code.
- (e) Sodomy, as defined in Section 262 of the Penal Code, except a violation of subdivision (e) of that section.
- (f) A violation of Section 288 of the Penal Code.
- (g) Oral copulation, as defined in Section 288a of the Penal Code, except a violation of subdivision (e) of that section.
- (h) Penetration of the genital or anal opening of another person with a foreign object, substance, instrument, or device, as specified in Section 289 of the Penal Code.
- (i) Annoying or molesting a child under 18, as defined in Section 647a of the Penal Code.
- (j) Any attempt to commit any of the above acts.

CALIFORNIA PENAL CODE

Penal Code Section 13836 – Advisory Committee; Duties; Sex Crime Prosecution Units

The Office of Criminal Justice Planning shall establish an advisory committee, which shall develop a course of training for district attorneys in the investigation and prosecution of sexual assault cases, child sexual exploitation cases, and child sexual abuse cases and shall approve grants awarded pursuant to Section 13837. The courses shall include training in the unique emotional trauma experienced by victims of these crimes.

It is the intent of the Legislature in the enactment of this chapter to encourage the establishment of sex crime prosecution units, which shall include, but not be limited to, child sexual exploitation and child sexual abuse cases, in district attorneys' offices throughout the state.

Penal Code Section 13836.1 – Members of Advisory Committee; Compensation; Expenses

Such committee shall consist of 11 members. Five shall be appointed by the executive director of the Office of Criminal Justice Planning, and shall include three district attorneys or assistant or deputy district attorneys, one representative of a city police department or a sheriff or a representative of a sheriff's department, and one public defender or assistant or deputy public defender of a county. Six shall be public members appointed by the Commission on the Status of Women, and shall include one representative of a rape crisis center, and one medical professional experienced in dealing with sexual assault trauma victims. The committee members shall represent the points of view of diverse ethnic and language groups.

Members of the committee shall receive no compensation for their services but shall be reimbursed for their expenses actually and necessarily incurred by them in the performance of their duties. Staff support for the committee shall be provided by the Office of Criminal Justice Planning.

Penal Code Section 13837 – Grants; Standards or Services; Utilization for Expansion of Program; Reports

The Office of Criminal Justice Planning shall provide grants to proposed and existing local rape, child sexual exploitation, and child sexual abuse victim counseling centers and prevention programs. Grant recipients shall provide appropriate in-person counseling and referral services during normal business hours, and maintain other standards or services which shall provide a 24-hour telephone counseling service for sex crime victims. The advisory committee shall identify the criteria to be utilized in awarding the grants provided by this chapter before any funds are allocated.

In order to be eligible for funding pursuant to this chapter, the centers shall demonstrate an ability to receive and make use of any funds available from governmental, voluntary, philanthropic, or other source that may be used to augment any state funds appropriated for purposes of this chapter. Each center receiving funds pursuant to this chapter shall make every attempt to qualify for any available federal funding.

State funds provided to establish centers shall be utilized when possible, as determined by the advisory committee, to expand the program and shall not be expended to reduce fiscal support from other public or private sources. The centers shall maintain quarterly and final fiscal reports in a form to be prescribed by the administering agency. In granting funds, the advisory committee shall give priority to centers that are operated in close proximity to medical treatment facilities.

OBJECTIVES

1. To provide Crisis Intervention services to _____ sexual assault victims from 4/1/04 through 9/30/04.
2. To provide Follow-Up services to _____ sexual assault victims from 4/1/04 through 9/30/04.
3. To provide In-Person Counseling services to _____ sexual assault victims from 4/1/04 through 9/30/04.
4. To provide Accompaniment services to _____ sexual assault victims from 4/1/04 through 9/30/04.
5. To provide Advocacy services to _____ sexual assault victims from 4/1/04 through 9/30/04.
6. To provide Information and Referral services to _____ members of the General Public (not victims) from 4/1/04 through 9/30/04.
7. To provide _____ Community Education Programs to _____ attendees from 4/1/04 through 9/30/04.
8. To provide _____ Rape Prevention and/or Self-Defense Programs to _____ attendees from 4/1/04 through 9/30/04.

ACTIVITIES

- 1.1
- 1.2
- 1.3, etc.
- 2.1
- 2.2
- 2.3, etc.
- 3.1
- 3.2
- 3.3, etc.
- 4.1
- 4.2
- 4.3, etc.
- 5.1
- 5.2
- 5.3, etc.
- 6.1
- 6.2
- 6.3, etc.
- 7.1
- 7.2
- 7.3, etc.
- 8.1
- 8.2
- 8.3, etc.